

## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

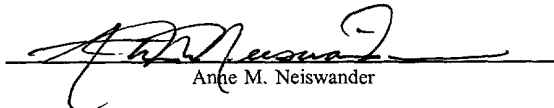
Box Patent Application  
Assistant Commissioner For Patents  
Washington, D.C. 20231

## NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of Patrick Hearing, Wadie F. Bahou, Ziv Sandalon and Dmitri V. Gnatenko for  
**HYBRID ADENOVIRUS/ADENO-ASSOCIATED VIRUS VECTORS AND METHODS OF USE THEREOF.**

## CERTIFICATION UNDER 37 C.F.R. § 1.10

I hereby certify that this New Application Transmittal and the documents referred to as enclosed therein are being deposited with the U.S. Postal Service on this date **February 12, 2001** in an envelope as "Express Mail Post Office to Addressee" Mailing Label Number **EL 476 361 610 US** addressed to: **Box Patent Application**, Assistant Commissioner For Patents, Washington, D.C. 20231.

  
Anne M. Neiswander

## 1. Type Of Application

This new application is for a(n)

☒ Original (nonprovisional)

## 2. Papers Enclosed That Are Required For Filing Date Under 37 C.F.R. § 1.53(b) (Regular) or 37 C.F.R. § 1.153 (Design) Application

266 Pages of Specification;  
10 Pages of Claims;  
1 Page of Abstract; and  
7 Sheets of Informal Drawings.

## 3. Declaration

☒ Enclosed  
☒ Executed by inventors.

## 4. Inventorship Statement

The inventorship for all the claims in this application is:

☒ the same

## 5. Language

☒ English

## 6. Assignment

☒ An assignment of the invention to **The Research Foundation of State University of New York** is attached.  
☒ Form PTO-1595 is also attached.

## 7. Fee Calculation (37 C.F.R. § 1.16)

☒ Regular application

## CLAIMS AS FILED

Number Filed	Number Extra	Rate	Basic Fee - \$710.00 (37 C.F.R. § 1.16(a))
Total Claims (37 C.F.R. § 1.16(c))	19 - 20 =	0 × \$18.00 =	\$0.00
Independent Claims (37 C.F.R. § 1.16(b))	5 - 3 =	2 × \$80.00 =	\$160.00
Multiple Dependent Claim(s), if any (37 C.F.R. § 1.16(d))	+ \$270.00 =		\$0.00
Filing Fee Calculation			\$870.00

## 8. Small Entity Statement(s)

- ☒ An executed Verified Statement that this is a filing by a small entity under 37 C.F.R. §§ 1.9 and 1.27 is attached.

Filing Fee Calculation (50% of above) \$435.00

## 9. Fee Payment Being Made At This Time

- ☒ Enclosed

☒ basic filing fee

\$435.00

☒ recording assignment (37 C.F.R. § 1.21(h))

\$40.00

Total Fees Enclosed

\$475.00

## 10. Method of Payment of Fees

- ☒ Check in the amount of \$475.00

## 11. Authorization To Charge Additional Fees and Credit Overpayment

- ☒ The Commissioner is hereby authorized to charge payment of any fees associated with this communication or credit any overpayment to Deposit Account No.: 08-1290. An originally executed duplicate of this transmittal is enclosed for this purpose.

## 12. Power of Attorney by Assignee

- ☒ An executed Power of Attorney by Assignee is enclosed

## 13. Return Receipt Postcard

- ☒ Enclosed


## 14. Sequence Listing

- ☒ A Sequence Listing (paper copy and on computer-readable diskette) is enclosed

## 15. Certificated Re: Sequence Listing

- ☒ Enclosed

Dated: February 12, 2001



Virginia S. Medlen  
Registration No.: 32,050

Please direct all communications to:

Peter G. Carroll  
Registration No. 32,837  
MEDLEN & CARROLL, LLP  
220 Montgomery Street, Suite 2200  
San Francisco, California 94104  
(415) 705-8410

☒ Incorporation By Reference Of Added Pages

- ☒ Plus Added Pages For New Application Transmittal Where Benefit Of Prior U.S. Application(s) Claimed

Number of pages added 1

ADDED PAGES FOR APPLICATION TRANSMITTAL  
WHERE BENEFIT OF PRIOR U.S. APPLICATION(S) CLAIMED

16. **Relate Back**

A. 35 U.S.C. § 119(e)

B. 35 U.S.C. §§ 120, 121 and 365(c)

☒ Amend the Specification by inserting before the first line the sentence: "This application claims priority to pending application Serial No.: 60/237,747 filed on 10/02/2000."

17. **Further Inventorship Statement Where Benefit Of Prior Application(s) Claimed**

a. This application discloses and claims only subject matter disclosed in the prior application whose particulars are set out above and the inventor(s) in this application are

☒ the same.